

Safety Concern Program

Los Alamos National Laboratory
Laboratory Implementation Requirements LIR 307-01-04.0
Issue Date: 06/30/98

Mandatory Document

1.0 Introduction

1.01 Lessons Learned Note: [Click here](#) for Lessons Learned *that may apply* to the requirements contained in this LIR.

1.1 Overview

The Safety Concern Program (SCP) shall be a no-fault partnership between workers and managers at Los Alamos National Laboratory (LANL) to identify and resolve safety concerns. The program is designed so that managers shall receive electronic notification of the safety concern, and the submitter shall receive periodic updates as the concern is tracked to resolution and closure.

This document describes the steps that managers and assignees must take in resolving safety concerns. The governing Laboratory Performance Requirement (LPR) for this LIR is LPR307-01-00.00, "Performance Assurance." The requirements of this LIR shall be effective on July 6, 1998.

See Attachment B (Guidance) for Recommended Major Implementation Criteria for Self-Assessment.

1.2 In this Document

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2.0 Purpose

This document establishes the implementation requirements that managers and designees shall follow to resolve safety concerns at LANL.

3.0 Scope

3.1 Applications and Limitations

The provisions of this document shall apply to the Integrated Safety Management (ISM) chain of responsibility at LANL. In particular, managers and their designees shall follow these provisions in resolving safety concerns at LANL.

Certain types of concerns must, by LANL requirements, be referred to other programs within the Laboratory. The Safety Concern Program (SCP) manager shall provide oversight of this referral process. The following is a partial list of those types of concerns and the associated LANL offices that shall be primarily responsible for resolution:

- Medical or personal problems Employee Assistance Program (ESH-2).
- Harassment or retaliation Employee Relations Group (HR-2).
- Fraud, waste, abuse, or Whistleblower complaints Internal Evaluation Office (IEO).
- Threats, workplace violence, property loss, drug possession, or vandalism The Security and Safeguards Special Projects Office (S-SPO).

4.0 Definitions

assignee The individual who is assigned an action by the SCP ticket owner. All actions shall include assessing the safety concern. Additional actions may include completing corrective actions or closing the ticket.

group-level manager The group leader or equivalent who has responsibility for the concerned worker.

safety concern An environment-, safety-, or health-related issue that a Laboratory worker believes should be reviewed or corrected.

Safety Concern Program (SCP)—The Laboratory program for addressing and resolving safety concerns. The SCP office is part of the Occurrence Investigation Group (ESH-7) and shall maintain the ES&H Hotline.

Safety Concern System (SCS)—The Web interface and underlying database associated with the SCP.

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ticket A safety concern that has been entered into the SCS.

ticket owner The group-level manager who shall be responsible for evaluating, assigning resources for, and ensuring the completion of corrective actions for a safety concern.

worker Any University of California employee, subcontractor employee, student, or affiliate who performs work for the Laboratory.

5.0 Functional Responsibilities

5.1 Division-Level Managers

The division-level managers shall

- ensure implementation of the Safety Concern Program in their organizations
- provide safety concern information in periodic safety self-assessment reports
- resolve conflicts regarding safety concerns within their divisions

5.2 Group-Level Managers

The group-level managers shall

- be the default ticket owners
- assume ticket owner responsibilities
- implement the Safety Concern Program in their organizations
- ensure timely resolution of safety concerns by assignees

5.3 Ticket Owners

The ticket owners shall

- assume overall responsibility for evaluating the concern and ensuring that the resolution is communicated to the concerned worker
- document any corrective actions or a justification for no action
- designate an assignee, if necessary, to evaluate and resolve the concern
- enter all data required by SCS
- when required, respond to the concerned worker
- The ticket owner shall not delegate ticket ownership but may delegate an assignee to complete specified actions.

5.4 Assignees

The assignees shall

- assist the ticket owner in resolving the safety concern
- complete actions specified by the ticket owner
- enter all data required by SCS
- when required, respond to the concerned worker

5.5 CIC-15

The Advanced Database and Information Technology Group (CIC-15) shall establish and maintain the Safety Concern System database

5.6 ESH-13

The ES&H Training Group (ESH-13) shall provide training so that workers and managers are knowledgeable about the Safety Concern Program

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5.7 SCP Manager

The Safety Concern Program manager shall

- provide oversight and implementation assistance for the SCP
- assume ownership of anonymous concerns
- respond to ticket owner or assignee requests for information or assistance in resolving concerns
- facilitate resolution of disputed concerns
- maintain the ES&H Hotline

6.0 Requirements

6.1 General Program Requirements

The primary program requirement for the Safety Concern Program shall be to provide an effective means for Laboratory workers to report and obtain resolution of safety concerns. In particular, the program shall

- resolve all safety concerns with either corrective actions or a justification for no action
- communicate resolution to the worker who submitted a concern
- maintain an ES&H Hotline for workers who want to submit an anonymous concern or who do not have a computer
- maintain records of all concerns and their resolution in the SCS database
- provide reminder notices of open concerns
- generate quarterly summary reports
- facilitate the resolution of disputed concerns

Note: Anyone with an active Z-number, including University of California (UC) employees, contractors, students, and affiliates, may submit a safety concern. Safety concerns can be submitted on the LANL Web site or the ES&H Hotline.

6.2 Division-level Manager Requirements

In addition to supporting the general program requirements, division-level managers shall ensure that the Safety Concern Program is effectively communicated and implemented by subordinate managers within their organizations. Division-level managers shall also provide safety concern information in safety self-assessments, as defined in Laboratory Implementation Requirement LIR307-01.01.0, "Safety Self-Assessment."

6.3 Group-level Manager Requirements

In addition to supporting the general program requirements, group-level managers shall ensure that the Safety Concern Program is effectively implemented within their organizations. Group leaders, office leaders, and program managers shall

- assume ticket owner responsibilities
- designate assignees for resolving individual tickets
- communicate to all workers the program requirements
- track the status of safety concerns for their organizations
- ensure that assignments and corrective actions are completed and effectively implemented

6.4 Assignee Requirements

In addition to supporting the general program requirements, assignees shall

- respond within the assigned due date to the ticket owner's instructions, or
- negotiate with the ticket owner for a reassignment of the ticket to other personnel

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- 6.5 SCP Manager Requirements** In addition to supporting the general program requirements, the SCP manager shall
- assume ownership of all anonymous safety concerns
 - when requested by the ticket owner, facilitate resolution of the ticket
 - screen for concerns that must be referred to other Laboratory offices for resolution
- 6.6 Global User Requirements** Division directors, division director designees, facility managers, safety function managers, ESH team leaders, and others directed by the SCP manager shall be designated as global users. Global users shall exercise reporting responsibilities outlined in Laboratory Implementation Requirement LIR307-01.01.0, "Safety Self-Assessment," and reassign concerns as necessary.
- 6.7 Resolution of Disputes** Ticket owners shall refer disputed safety concerns to their division-level management or the ES&H Hotline. The office that receives this referral shall obtain resolution or refer the concern to the responsible employee relations or investigative office. The ticket owner is responsible for documenting in SCS the final resolution of any dispute about the ticket.

7.0 Records

- 7.1 Division-level Documents** There shall be no records requirements for division directors beyond those specified in LIR 307-01-01.0, "Safety Self-Assessment."
- 7.2 Safety function-level Documents** There shall be no records requirements for safety function managers beyond those specified in LIR 307-01-01.0, "Safety Self-Assessment."
- 7.3 Program-level Documents** The SCP office shall be responsible for maintaining required records, including all safety concerns and records of their resolution, according to LANL retention schedules. The SCP office shall retain copies of all summary input provided to division-level self-assessment reports.

8.0 References

- 8.1 Documents** Laboratory Implementation Requirement LIR 307-01-01.0, "Safety Self-Assessment."
Laboratory Performance Requirement LPR 307-01-00.0, Performance Assurance."
- 8.2 Ownership** ESH-7 shall be the OIC responsible for the contents of this document.

9.0 Attachments

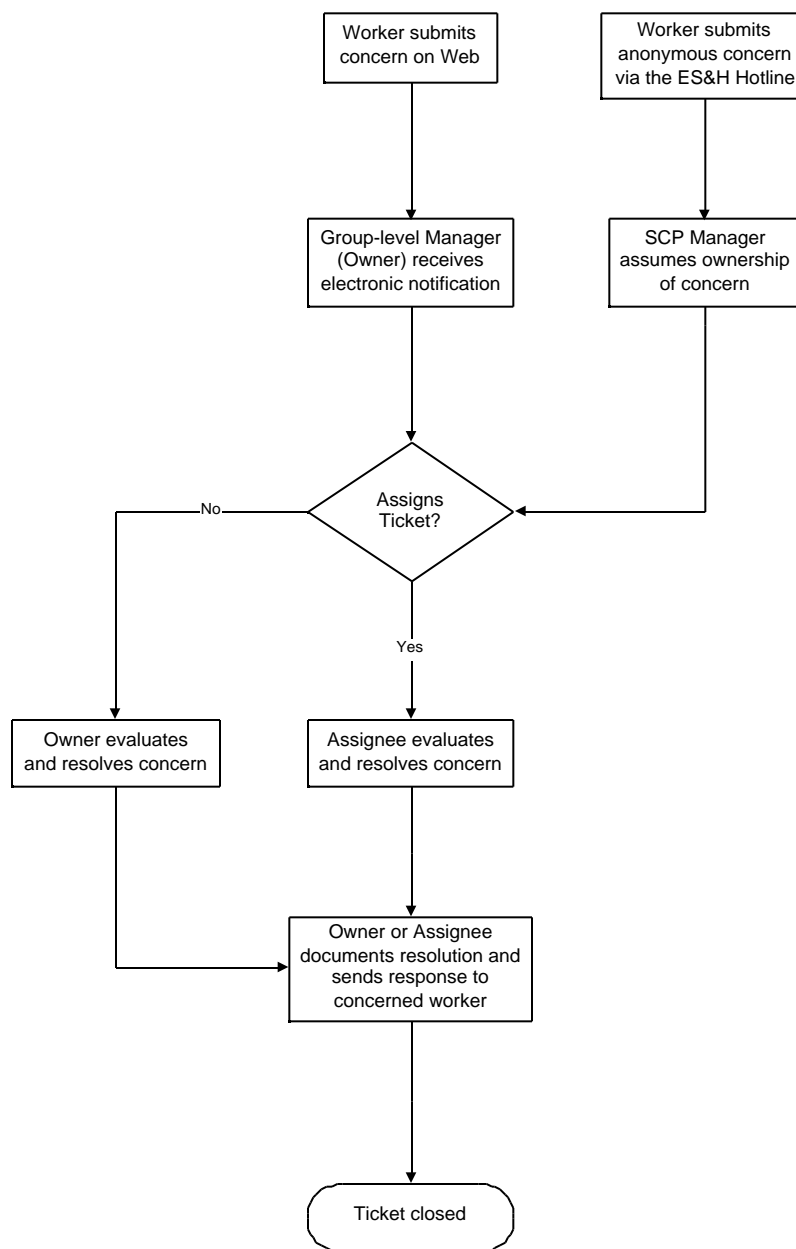
- Attachment A** Flowchart of Safety Concern Process
- Attachment B** Recommended Major Implementation Criteria for Self-Assessment

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Attachment A: Flowchart of Safety Concern Process



NOTE: The SCS database shall electronically communicate ownership, assignments, and reminder notices of open concerns.

Guidance

Attachment B

Recommended Major Implementation Criteria for Self-Assessment

| (Non-Mandatory) | |
|------------------------|-----------------|
| LIR Title | LIR Number |
| Safety Concern Program | LIR 307-01-04.0 |

The major implementation criteria listed below are provided to assist Laboratory organizations assess their implementation of this LIR. These criteria provide an objective basis for self-assessing implementation of the major requirements contained in the LIR. The LIR also states requirements in other areas, such as, scope, precautions, and responsibilities that, when applied, complement the successful implementation of these major requirements.

- 1. The most important criterion for assessing the implementation status of this LIR should be, if applicable: Have the requirements contained in the LIR been communicated to the individual(s) responsible for performing the work?**
- 2. In addition, the recommended major implementation criteria for self-assessment of this LIR are the following:**
 - Workers, including all personnel with valid Z-numbers, are aware of the Safety Concern System on the web and the alternative ES&H Hotline (5-5010), and of their right to report safety concerns via these tools.
 - Safety concerns entered into the Safety Concern System are resolved with documented actions or justifications for no action, and are closed within the target completion date.
 - Actions taken to resolve safety concerns are verifiable via objective evidence and adequately address the expressed concern.
 - All managers are aware of the performance of the Safety Concern Program in their organizations and can demonstrate that performance is acceptable or that actions are planned to remediate any deficiencies.